

## INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item:   | Entry:   |
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| 1. Self-explanatory.  |  |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 12. List only the largest political entities affected (e.g., State, counties, cities).   |
| 3. State use only (if applicable).  | 13. Self-explanatory.  |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 14. List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.   | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 7. Enter the appropriate letter in the space provided.  | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>- "New" means a new assistance award.<br>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 9. Name of Federal agency from which assistance is being request with this application.   |  |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |  |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |  |

**INSTRUCTIONS  
FAA FORM 5100-100**

**PART II - SECTION A**

Negative answers will not require an explanation unless the federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions.

**Item 1** - Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

**Item 2** - Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval

**Item 3** - Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

**Item 4** - Furnish the name of the approving agency and the approval date.

**Item 5** - Show whether the approved comprehensive plan is State, local, or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

**Item 6** - Show the Federal population residing or working on the federal installation who will benefit from this project.

**Item 7** - Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

**Item 8** - Briefly describe the possible beneficial and/or harmful impact on the environment because of the proposed project. If an adverse environment impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

**Item 9** - State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

**Item 10** - Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and amount of each project where there is related previous, pending, or anticipated assistance. Use additional sheets, if needed

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**PART II - SECTION C  
REPRESENTATION AND CERTIFICATIONS**

No change should be made in these representations.

**1. Statement on compatible land use.** Each sponsor must state in its application the action that it has taken to restrict the use of land adjacent to or in the immediate vicinity of the airport to activities and purposes compatible with the normal airport operations including landing and takeoff of aircraft. The sponsor's statement must include information on-

- a) Any property interests (such as airspace easements or title to airspace) acquired by the sponsor to assure compatible land use, or to protect or control aerial approaches;
- b) Any zoning laws enacted or in force restricting the use of land adjacent to or in the vicinity of the airport, or assuring protection or control of aerial approaches, whether or not enacted by the sponsor, and;
- c) Any action taken by the sponsor to induce the appropriate government authority to enact zoning laws restricting the use of land adjacent to or in the vicinity of the airport, or assuring protection or control of aerial approaches, when the sponsor lacks the power to zone the land.

**2. Defaults.** Many sponsors, because of previous Federal-aid airport projects, or because of receiving airports as surplus military property, have assumed certain obligations to the United States. If they are not in default on such obligation, they may so indicate. Those with no such obligations are, of course, not in default.

**3. Possible Disabilities.** In development of a project, a diligent attempt is made to call attention to every circumstance that might affect performance in carrying out the project or adherence to the Sponsor's Assurances. Peculiarities of a specific situation may not be foreseen by FAA representatives. The statement in this section is, in effect, the sponsor's statement that any such circumstances have been brought to the attention of FAA. A complete statement of pertinent factors, not previously submitted, should be submitted without the Project Application.

**4. Land.**

- a) An Exhibit A property map shall be submitted for land projects or if property interests have changed since the last federally-funded project. In either of these two cases, state "Exhibit A property map attached." If project is construction and/or equipment only, state "No changes since Exhibit A dated \_\_\_\_\_ on federal project # \_\_\_\_\_."
- b) This space should be used if, at the date of the Project Application, land interests are yet to be acquired on any land which construction is to be undertaken.
- c) This space is applicable for any land interest yet to be acquired.

## INSTRUCTIONS FAA FORM 5100-100

### PART III

#### Section A. General

1. Show the Federal Domestic Assistance Catalog Number from which the assistance is requested. When more than one program or Catalog Number is involved and the amount cannot be distributed to the Federal grant program or catalog number on an overall percentage basis, prepare a separate set of Part III forms for each program or Catalog Number. However, show the total amounts for all programs in Section B of the *basic* application form.
2. Show the functional or other categorical breakouts, if required by the Federal grantor agency. Prepare a separate set of Part III forms for each category.

#### Section B. Calculation of Federal Grant

When applying for a new grant, use the Total Amount Column only. When requesting revisions of previously awarded amounts, use all columns.

**Line 1** - Enter amounts needed for administration expenses including such items as travel, legal fees, rental of vehicles and any other expense items expected to be incurred to administer the grant. Include the amount of interest expense when authorized by program legislation and also show this amount under Section E Remarks.

**Line 2** - Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction.

**Line 3** - Enter amounts directly associated with the acquisition of land, existing structures, and related right-of-way.

**Line 4** - Enter basic fees for architectural engineering services, such as surveys, tests, and borings.

**Line 5** - Enter amounts for other architectural engineering services, such as surveys, tests, and borings.

**Line 6** - Enter fees for inspection and audit of construction and related programs.

**Line 7** - Enter amounts associated with the development of land where the primary purpose of the grant is land improvement. Site work normally associated with major construction should be excluded from this category and shown on Line 11.

**Line 8** - Enter the dollar amounts needed to provide relocation advisory assistance, and the net amounts for replacement (last resort) housing. Do not include relocation administration expenses on this Line; include them of Line 1.

**Line 9** - Enter the estimated amount of relocation payments to be made to displaced persons, business concerns and non-profit organizations for moving expenses and replacement housing

**Line 10** - Enter the gross salaries and wages of employees of the grantee who will be directly engaged in performing demolition or removal of structures from developed land. This line should show also the cost of demolition or removal on developed land under a third party contract. Reduce the costs

on this line by the amount of expected proceeds from the sale of salvage, if so instructed by the Federal grantor agency. Otherwise, show the proceeds on Line 15.

**Line 11** - Enter amounts for the actual construction of, addition to, or restoration of a facility. Also include in this category, the amounts of project improvements such as sewers, streets, landscaping and lighting.

**Line 12** - Enter amounts for equipment both fixed and movable exclusive of equipment used for construction. For example, include amounts for permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment.

**Line 13** - Enter amounts for items not specifically mentioned above.

**Line 14** - Enter the sum of Lines 1-13

**Line 15** - Enter the estimated amount of program income that will be earned during the grant period and applied to the program.

**Line 16** - Enter the differences between the amount on Line 14 and the estimated income shown on Line 15.

**Line 17** - Enter amounts for those items which are part of the project but not subject to Federal participation (See Section C, Line 26g, Column (1)).

**Line 18** - Enter the estimated amount for contingencies. Compute this amount as follows. Subtract from the net project amount shown on Line 16 the ineligible project exclusions shown on Line 17 and the amount which is excluded from the contingency provisions shown in Section C, Line 26g, Column (2). Multiply the computed amount by the percentage factor allowed by the grantor agency in accordance with the Federal program guidance. For those grants which provide for a fixed dollar amount in lieu of a percentage allowance, enter the dollar amount of this allowance.

**Line 19** - Show the total amount of Lines 16, 17, and 18. (This is the amount to which the matching share ratio prescribed in program legislation is applied.)

**Line 20** - Show the amount of Federal funds requested exclusive of funds for rehabilitation purposes.

**Line 21** - Enter the estimated amounts needed for rehabilitation expense if rehabilitation grants to individuals are made for which grantees are reimbursed 100 percent by the Federal grantor agency in accordance with program legislation. If the grantee shares in part of this expense show the total amount on Line 13 instead of Line 21 and explain in Section E.

**Line 22** - Show the total amount of the Federal grant requested.

**Line 23** - Show the amount from Section D, Line 27h.

**Line 24** - Show the amount from Section D. Line 28c

**Line 25** - Self-explanatory.

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**INSTRUCTIONS**  
**FAA FORM 5100-100****PART III (Continued)****Section C. Exclusions**

**Line 26 a-g** - Identify and list those costs in Column (1) which are part of the project cost but are not subject to Federal participation because of program legislation or Federal grantor agency instructions. The total amount on Line g should agree with the amount shown on Line 17 of Section B. Show in Column (2) those project costs that are subject to Federal participation but are not eligible for inclusion in the amount used to compute contingency amounts as provided in the Federal grantor agency instructions.

**Section D. Proposed Method of Financing Non-Federal Share**

**Line 27 a-g** - Show the source of the grantee's share. If cash is not immediately available, specify the actions completed to date and those actions remaining to make cash available under Section E Remarks. Indicate also the period of time that will be required after execution of the grant agreement to obtain the funds. If there is a non-cash contribution, explain what this contribution will consist of.

**Line 27 h** - Show the total of Lines 27 a-g. This amount must equal the amount shown in Section B, Line 23.

**Line 28 a** - Show the amount that will be contributed by a State or state agency, *only* if the applicant is *not* a State or state agency. If there is a non-cash contribution, explain what the contribution will consist of under Section E Remarks.

**Line 28 b** - Show the amount that will be contributed from other sources. If there is a non-cash contribution, explain what this contribution will consist of under Section E Remarks.

**Line 28 c** - Show the total on Lines 28a and 28b. This amount must be the same as the amount shown in Section B, line 24.

**Line 29** - Enter the totals of Line 27h and Line 38c.

**FAA FORM 5100-100****PART III (Continued)****Section E. Other Remarks**

Make any remarks pertinent to the project and provide any other information required by these instructions or the grantor agency. Attach additional sheets, if necessary.

Use this space to show the exact status of funds with adequate evidence of availability when needed. Not acceptable as evidence are (a) a promise or covenant to supply funds as needed, (b) a statement that funds will be appropriated (unless accompanied by evidence that funds are on hand to appropriate), or (c) a statement that bonds will be sold unless accompanied by evidence assuring salability of bonds.

If a portion of funds has already been paid for land which has been included in "land costs", show the amount paid for such land as separate item. If portion of funds is the claimed value of donated land or other donated items of value, itemize the donations separately. "Donations" for this purpose consist of items of value obtained by the sponsor from others without charge. Donations of money prior to filing the Project Application may be considered funds on hand. If a portion of the funds is represented by the value of sponsor-owned equipment and/or materials to be utilized in the accomplishment of proposed construction and/or by labor to be performed by regular employees of the sponsor, itemize the value of such equipment, material and labor separately. Construction by sponsor's forces is termed "Sponsor's Force Account", and must have prior approval of the FAA.

**Attachments**

**Exhibit "A" Property Map** is required for all land projects (and for construction projects if property interests have changed since the last federally-funded project). This property map must clearly show, by appropriate legal description, all airport land owned by the sponsor for airport purposes, including land and interests in land in the runway approach areas, plus any areas or tracts of land proposed to be acquired in connection with the project. In addition, the map must indicate by appropriate symbols or other markings, the property interest (fee title, aviation easement, etc.) the sponsor holds in each tract or parcel of airport land and the property interest to be acquired in each tract or parcel of land in connection with the project. A sample Exhibit "A" Property Map along with guidance on preparation is included in the handout "Satisfactory Evidence of Good Title."

**Standard DOT Title VI Assurance** must be executed and attached to each copy of the Project Application. Title VI Assurance is not required if the sponsor has had a grant after October 1, 1985.

**Supporting Material**

Plans and specifications for construction work, together with the engineer's report and estimates, are considered supporting material for the Project Application. They may be submitted to FAA separately but not later than the Project Application. Include pavement design FAA form 5100-1 if not already submitted.

Additional supporting data will be required to provide complete information on any of the representations or covenants of the Project Application or any unusual situation or problem which may have a bearing on approval of the project. Include in this supporting data, as applicable, are the following:

1. Agency agreements (used when a state aviation agency serves as agent).
2. Co-sponsorship agreements (used when more than one public agency co-sponsors a project).
3. A Certificate of Title covering all of the existing airport property as delineated on the Exhibit "A" Property Map must accompany the Project Application.
4. If a project includes land acquisition or reimbursement for land previously acquired, sponsor compliance with the requirements of PL 91-646, Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, and Part 24, Regulations of the Office of the Secretary of Transportation, must be determined, prior to Federal participation in the land costs. Evidence of the use of qualified appraisers, the securing of acceptable appraisals and review appraisals should be submitted to FAA for review, prior to making a formal offer for the land. Guidance material may be found in 49 CFR Part 24, Regulation of the office of the Secretary of Transportation.
5. Project Estimate. This is a detailed estimate of all project costs. It may be combined with the engineer's estimate for construction but will not be complete if it shows only construction costs.
6. In some jurisdictions, public utility companies are responsible for relocating their facilities where facilities are located in publicly owned rights-of-way and their removal or relocation is required for public convenience or by public necessity.  
  
A determination (legal opinion) taking into consideration applicable state and local law as to whether the airport owner is legally liable for the cost of utility removal/relocation must be provided if the project involves utility relocation/removal costs.
7. When the proposed project involves displacement of persons residing on the land to be acquired, the sponsor must develop a relocation plan as required by paragraph 24.205 of the Regulations of the Office of the Secretary of Transportation. The sponsor must provide evidence, upon FAA request, that the relocations were accomplished in accordance with the requirements of PL 91-646 and Part 24.
8. A written statement from the sponsor is required regarding any opposition (or the absence of it) to the proposed project since the request for aid was filed. The statement shall contain the substance of any objection to or approval of the proposed project made known to the sponsor by any local individual group or community.

**Copies Required**

The sponsor should submit the original and two copies (original plus three copies when there is a joint sponsor or when state agency serves as agent) of the Project Application (FAA Form 5100-100 with attached Exhibit "A"; Standard Assurances, Standard DOT Title VI Assurances, if required). For all other material, one copy is required for our files.

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FAA FORM 5100-100**PART IV**

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for supplemental assistance should be responsive to Item 5b only. Requests for continuation or refunding or other changes of an approved project should be responsive to Item 5c only.

**1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.**

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

**2. RESULTS OR BENEFITS EXPECTED.**

Identify results and benefits to be derived. For example, include a description of who will occupy the facility and show how the facility will be used. For land acquisition or development projects, explain how the project will benefit the public.

**3. APPROACH.**

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements.
- b. Provide for each grant program monthly or quarterly quantitative projections of the accomplishments to be achieved, if possible. When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and their target dates.
- c. Identify the kinds of data to be collected and maintained, and discuss the criteria to be used to evaluate the results and success of the project. Explain the methodology that will be used to determine if the needs identified and discussed are

being met and if the results and benefits identified in Item 2 are being achieved.

- d. List each organization, cooperator, consultant, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

**4. GEOGRAPHIC LOCATION**

Give a precise location of the project and area to be served by the proposed project. Maps or other graphic aids may be attached.

**5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:**

- a. Describe the relationship between this project and other work planned, anticipated, or underway under the Federal Assistance listed under Part II, Section A, Item 10.
- b. Explain the reason for all requests for supplemental, assistance and justify the need for additional funding.
- c. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location, approach or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded or if individual budget items have changed more than the prescribed limits contained in Attachment K, Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.

